

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Walker, Lance E.	2. Court or Organization U.S. District Court, Maine	3. Date of Report 05/09/2021
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Article III - Active Status	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2020 to 12/31/2020
	5b. ☐ Amended Report	
7. Chambers or Office Address U.S. District Court, District of Maine Margaret Chase Smith Federal Building and Courthouse 202 Harlow Street Bangor, Maine 04401		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. _____	_____
2. _____	_____
3. _____	_____

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2020	GreatBanc Trust Company
2. 2020	Business Valuation Resources
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☐ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1. Capital One	Credit Card	J
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

1. IRA #1 (H)									
2. (GOFXX) Federated Government Oblig Fd #117	A	Dividend	J	T					
3. Invesco QQQ Trust Unit Ser 1	A	Dividend	K	T					
4. Vanguard Admiral Fds 500 Grth IDX ETF	A	Dividend	L	T					
5. Vanguard S&P 500 ETF	A	Dividend	L	T					
6. IShares Core S&P Midcap ETF	A	Dividend	K	T					
7. Ishares Core S&P Small-Cap ETF	A	Dividend	K	T					
8. Ishares MSCI EAFE ETF	A	Dividend	J	T					
9. Vanguard Intl Growth-Adm	A	Dividend	K	T					
10. Doubleline Low Duration Bond Fund	B	Dividend	L	T					
11. Vanguard Fixed Income Secs Fd Admiral	C	Dividend	L	T					
12. IRA #2 (H)									
13. (GOFXX) Federated Government Oblig Fd #117	A	Dividend	J	T					
14. Invesco QQQ Trust Unit Ser 1	A	Dividend	K	T					
15. Vanguard S&P 500 ETF	B	Dividend	M	T					
16. Vanguard Admiral Fds 500 Grth IDX ETF	A	Dividend	L	T					
17. IShares Core S&P Midcap ETF	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	
3 Value Method Codes (See Column C2)					

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Ishares Core S&P Small-Cap ETF	A	Dividend	K	T					
19. IShares MSCI EAFE ETF	A	Dividend	J	T					
20. Vanguard Intl Growth-Adm	A	Dividend	K	T					
21. Doubleline Low Duration Bond Fund	C	Dividend	M	T					
22. Vanguard Fixed Income Secs Fd Admiral	C	Dividend	L	T					
23. 401(k) (H)									
24. Principal LifeTime 2040 Inst Fund	A	Dividend	K	T					
25. Key Bank Health Savings Account	A	Interest	J	T					
26. Key Bank Cash Accounts	A	Interest	L	T					
27. 529 Plan #1 (H)									
28. MATCHING GRANT 0-15 YEAR PORTFOLIO	A	Dividend	J	T					
29. BLKRRK 8-11 YEARS DIRECT	A	Dividend	K	T					
30. ALFOND GRANT 8-11 YRS	A	Dividend	J	T					
31. 529 Plan #2 (H)									
32. MATCHING GRANT 0-15 YEAR PORTFOLIO	A	Dividend	J	T					
33. BLKRRK 14-15 YEARS DIRECT	A	Dividend	K	T					
34. ISHARES 14-15 YEARS DIRECT	A	Dividend	K	T					

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3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Lance E. Walker**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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